RE-6 Rev 10/05 CONNECTICUT & OUT-OF-STATE (860) 713-6150 www.ct.gov/dcp



STATE OF CONNECTICUT Department of Consumer Protection License Services Division 165 Capitol Avenue, Hartford, CT 06106

INSTRUCTIONS FOR LEGAL ENTITY

1. ALL APPLICANTS:						
Broker Completing this Application must:	> Ha	Have an Individual Broker's License in a Reciprocal State by examination; OR				
	pai	id for licen	ise.			
2. ALL APPLICANTS:						
Z. ALL AFFLICANTS.						
☐ FIRST REGISTER YOUR LEGAL ENTITY WITH THE CONNECTICUT SECRETARY OF STATE SECRE			TARY OF STATE - (860) 509-6002			
3. RECIPROCAL BROKERS ARE ALSO REQUIRE	ED TO:					
□ OBTAIN A "CERTIFICATION OF LICENSE HISTORY" from your State Licensing Authority indicating that the LEGAL ENTITY is licensed as a Real Estate Broker. □ COMPLETE CPR-73 Select the appropriate Consent Form included herein for your type of legal entity.	RTIFICATION OF LICENSE HISTORY" te Licensing Authority indicating that the TY is licensed as a Real Estate Broker. PR-73 propriate Consent Form included herein THIS "CINDICA" INDICA" LICENS WHERE		CERTIFICATION OF LICENSE HISTORY" MUST ATE THAT YOU HAVE PASSED THE BROKER SING EXAM IN THAT RECIPROCAL STATE EIN YOU HOLD YOUR BROKER LICENSE IN THE OF YOUR LEGAL ENTITY. NOT COPY OF LICENSE			
4. ALL APPLICANTS (including Reciprocal Brokers)	ARE REG	QUIRED TO): 			
OBTAIN A "CERTIFICATION OF LICENSE HISTORY" FROM EACH STATE (EXCEPT CT) IN WHICH YOU CURRENTLY HAVE OR HAD A LICENSE.						
5. ALL APPLICANTS: ONLY AFTER YOU HAVE REG	ISTERED	YOUR LE	GAL ENT	TY WITH THE CT SECRETARY OF STATE		
☐ COMPLETE APPLICATION FOR LEGAL ENTITY TO BECOME A BROKER (copies acceptable)						
COMPLETE ATTACHED AFFIDAVIT OF OWNERSHIP verifying ownership interest & stock interest for each Member/Officer			□ Partnership Agreement □ Articles of Organization (limited liability company) □ Articles of Incorporation (corporation)			
6. REGARDING SALESPERSONS WHO ARE AFF	ILIATE	O WITH Y	OUR CUE	RRENT BROKER LICENSE:		
Connecticut licensed Salespersons currently working for must complete a Salesperson Transfer For become affiliated with your new legal en \$25.00 Transfer Fee for each. Salesperson Transfer Form is attached.	or you I m to b itity. [NOTE: Salespersons not Connecticut licensed must apply for a Connecticut license if they will also engage in the real estate business in Connecticut on behalf of your company: [A] Salespersons from a reciprocal state – Select Reciprocal Individuals from website. [B] Salespersons from a non-reciprocal state – Select Applicants with Out-of-State Courses from website.				
7. ALL APPLICANTS: FEE			8. ALL	. APPLICANTS: FEE		
□ \$60.00 Application Fee* for Designated Broker *NOTE: This \$60.00 fee is not required if you already Connecticut Broker License OR you have a passed the Connecticut Real Estate Broker	u have recently		☐ LICENSE FEE FOR LEGAL ENTITY and APPLICATION FEE FOR LEGAL ENTITY See Pro-Rated License Fee Schedule ALL CHECKS PAYABLE TO: "TREASURER, STATE OF CONNECTICUT"			
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STATE OF CONNECTICUT DEPARTMENT OF CONSUMER PROTECTION

License Services Division 165 Capitol Avenue - Room 110 Hartford, Connecticut 06106 (860) 713-6150 www.ct.gov/dcp

BROKER PRO-RATED LICENSE FEE SCHEDULE

IF PAYMENT IS MADE BETWEEN:

4/1 - 6/30LICENSE FEE = \$470.00 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$530.00							
7/1 - 9/30LICENSE FEE = \$357.50 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$417.50							
10/1 - 12/31LICENSE FEE = \$245.00 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$305.00							
1/1 - 1/31LICENSE FEE = \$132.50 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$192.50							
NOTE: If you are submitting Application between 2/1 and 3/31, include the correct Renewal Fee payment to avoid a delay in processing your active license.							
2/1 - 3/31LICENSE FEE = \$132.50 + \$60.00 LEGAL ENTITY APPLICATION FEE = \$192.50							
\$192.50 plus \$308.00 Renewal Fee on the <u>even years</u> = \$500.50 or							
\$192.50 plus \$300.00 Renewal Fee on the <u>odd years</u> = \$492.50							

MAKE YOUR CHECK PAYABLE TO: "TREASURER, STATE OF CONNECTICUT"

Note: If you are not licensed as a Connecticut Individual Broker, you must include Two \$60.00 Application Fees (one to qualify as a broker and one for the legal entity)

CPR-52b Rev 10/05 <u>www.ct.gov/dcp</u> (860) 713-6150



STATE OF CONNECTICUT

Department of Consumer Protection

License Services Division

165 Capitol Ave – Room 110 – Hartford, CT 06106

APPLICATION FOR A LEGAL ENTITY TO BECOME A BROKER or REINSTATE

Type or Print your Answers	Officia	I Use Only				
SECTION I						
Check ALL Applicable Boxes: TYPE OF LEGAL ENTITY: CORPORATION LIMITED LIABILITY COI LIMITED LIABILITY PARTNERSHIP ASSOCIA						
APPLICATION STATUS: ☐NEW LEGAL ENTITY ☐REINSTATEMENT/RENEW	VAL RECIPROCAL					
CHANGES: ☐CHANGE OF DESIGNEE ☐COMPANY NAME CHANGE must be s	same type of legal entity if no	t, apply as a New Legal Entity.				
1. NAME OF LEGAL ENTITY						
2. BUSINESS ADDRESS	01: (0: .					
Street SECTION II	City/State	Zip Code				
NAME OF DESIGNATED BROKER:						
First	Middle	Last				
2. HAVE YOU EVER CHANGED YOUR NAME? ☐YES ☐NO If Yes, Give Name(s)						
3. DATE OF BIRTHSOCIAL SECURITY	#					
4. RESIDENCE ADDRESSStreet	City/State	Zip Code				
5. TELEPHONE: RESIDENCE Residence I	•	·				
BUSINESS Business FA						
CELL PHONE						
E-MAIL ADDRESS_						
SECTION III						
1. Has the name of the legal entity ever been changed? ☐YES ☐NO If yes, Give name(s):						
2. Is your legal entity up-to-date with the Secretary of State's Office? ☐YES	S□NO					
 Will you be using a Trade Name? ☐YES ☐NO If yes, what is the Trade 						
Name?						
5. Have you registered your Trade Name at the Town Clerk's Office where y	our business is located?	☐YES ☐NO ☐Not Necessary				
6. Has any complaint been filed against you or any officer/member of this lea	gal entity with this office o	r with any other State? 6.				
If yes, give details		0				
7. Have you or any officers or members of this legal entity been convicted of a						
embezzlement, obtaining money under false pretenses, extortion, criminal co	onspiracy to defraud, or a	ny like offense? 7. □YES □NO				
If yes, please attach a description of the circumstances relating to each conv where the cases were decided, and COMPLETE THE CRIMINAL CONVICT						
Has legal entity <u>ever held</u> a real estate license in any other State? What State? Dates held		8. □YES □NO				
Does legal entity <u>currently hold</u> a real estate license in Connecticut or any						
What State? License #		9. □YES □NO				

10.	ATTACH CERTIFICATION(S) OF IN WHICH YOU HAVE OR HAD A	LICENSE HISTORY FROM A REAL ESTATE LICENSE	M <u>EACH STATE</u> (EXCEPT CT) FOR THIS LEGAL ENTITY. (Not copy of lice)	nse.) 10. ATTACHMENT
11.	Have you or any officers/mem	bers of this legal entity ε	ever been refused a real estate license in C	T or any other State?
	If yes, give date Give details		What State?	11. □YES □ NO
12.	Have you or any officers/mem in Connecticut or any other St		ever had their real estate license suspende	d or revoked 12. □YES □NO
	If yes, give date Give details		What State?	
SE	CTION IV – DESIGNATED BROK	ŒR		
1.	Do you currently hold a real est	ate broker's license <u>in</u> <u>y</u>	our own name in Connecticut or any other	State? 1. □YES □NO
	LICENSE #		STATE(S)	
2.	Have you <u>ever held</u> a real estat If yes, give name of State	e license in Connecticut	t or any other State?Dates HeldLicense #	2. □YES □NO
3.	ATTACH CERTIFICATION(S) OF I	LICENSE HISTORY FROM		
	Have you ever been refused a lf yes, give name of State(s)Details		nnecticut or any other State?Dates Held	4. □YES □NO
	Have you read the Connecticut		_aws and Regulations?	5. □YES □NO
			required by the Real Estate Commission, and this Department?	nd 6. ∐YES ∐NO
SE	CTION V – ALL NON-RESIDENT		VICE OF PROCESS FOR INDIVIDUALS	
KN	OW ALL MEN BY THESE PRESEN			
TH	AT THE UNDERSIGNED			
CC	DUNTY OF	STA	TE OF	Being an applicant for license
ap res ma Co Co up	bsequent amendments thereto plicant in the proper court in a side, and that in the event prope ade by service of process or planmission, hereby stipulating a pronecticut Real Estate Commission said applicant in the State of	o, does hereby irrevocating judicial district of the er service of process careading authorized by the and agreeing that such sion shall be taken and Connecticut.	er the provisions of Chapter 392 of the Co ably consent that suits and actions may e state in which a cause of action may ari anot be made upon such applicant in any s e laws of Connecticut on the Chairperson service of such process or pleading upon held in all courts to be as valid and bindir gned And Sealed This Instrument	be commenced against suclise or in which the plaintiff may uch proceeding, service may be of the Connecticut Real Estate on the said Chairperson of the
AT_		ON THE	DAY OF	20
			SIGNATURE O	F APPI ICANT
QE.	CTION VI - ALL APPLICANTS I	MUST COMPLETE THIS S		- 7 · · · - · · · · · · · · · · · · · ·
I, b		m that the answers given a	bove are true to the best of my knowledge and b	pelief, and that this Application is
Ş	STATECI	TY OR TOWN	COUNTY OF	DATE
SU	BSCRIBED AND SWORN TO BEF	ORE ME THIS	DAY OF	20
_	Signature of No	tary Public	Signature of D	esignated Broker

Rev. 10/05 CPR-52bb www.ct.gov/dcp (860) 713-6150



STATE OF CONNECTICUT Department of Consumer Protection License Services Division 165 Capitol Ave - Rm 110 - Hartford, CT 06106

Type or Print Clearly

AFFIDAVIT OF OWNERSHIP

All changes in ownership or control of a legal entity shall be reported within 30 days of such change by filing a new Affidavit of Ownership. I HEREBY ATTEST TO THE ACCURACY OF THE INFORMATION PROVIDED BELOW UNDER PENALTY OF LAW.

	E-MAIL ADDRESS				
NAME OF LEGAL ENTITY					
NAME OF DESIGNATED PROVED	DATE OF THIS REPORT:				
Please Check One (mandatory) PUBLICLY-TRADED STOCK CORPORATION CLOSED STOCK CORPORATION NON-STOCK CORPORATION PARTNERSHIP LIMITED LIABILITY COMPANY Attachment Required: (copies acceptable) Partnership Agreement Articles of Organization Articles of Incorporation	EFFECTIVE OCTOBER 1, 2005 – READ CAREFULLY LICENSED INDIVIDUAL REAL ESTATE BROKERS OR SALESPERSONS WHO ENGAGE IN THE REAL ESTATE BUSINESS AS A PARTNERSHIP, CORPORATION, OR LIMITED LIABILITY COMPANY SHALL OBTAIN A BROKER LICENSE IN THE NAME OF THAT LEGAL ENTITY. THERE MUST BE ONE (OR MORE) LICENSED BROKER(S) WHO OWNS 51% OF THE LEGAL ENTITY. NO SALESPERSON MAY HAVE A CONTROLLING INTEREST IN THE LEGAL ENTITY. REFER TO COMPLETE PUBLIC ACT 05-115 ATTACHED.				
MEMBERS/OFFICERS	ATTACH AS MANY OF THESE FORMS AS NEEDED				
NAME	NAME				
TITLE	TITLE				
STREET	STREET				
TOWN/CITY STATE ZIP CODE	TOWN/CITY STATE ZIP CODE				
SALESPERSON□ BROKER□ UNLICENSED□	SALESPERSON BROKER UNLICENSED				
CONNECTICUT LICENSE #					
% OF OWNERSHIP	% OF OWNERSHIP				
% OF STOCK INTEREST	% OF STOCK INTEREST				
NAME TITLE STREET	NAME TITLE STREET				
TOWN/CITY STATE ZIP CODE	TOWN/CITY STATE ZIP CODE				
SALESPERSON BROKER UNLICENSED	SALESPERSON BROKER UNLICENSED				
	CT LICENSE #				
% OF OWNERSHIP	% OF OWNERSHIP				
% OF STOCK INTEREST	% OF STOCK INTEREST				
REQUIRED NOTARIZATION: ALL APPLICANTS MUST COMPLE					
I, being duly sworn to law, hereby affirm that the answers given abo	•				
	COUNTY OFDATE				
SUBSCRIBED AND SWORN TO BEFORE ME THIS	DAY OF20				
Signature of Notary Public	Signature of Designated Broker				

PUBLIC ACT #05-115

AN ACT CONCERNING THE OWNERSHIP OF REAL ESTATE BROKERAGE COMPANIES

Section 20-312(a) No person shall act as a real estate broker or real estate salesperson without a license issued by the commission, unless exempt under this chapter. The Commissioner of Consumer Protection may enter into any contract for the purpose of administratively processing the renewal of licenses on behalf of the commission.

(b) The practice of or the offer to practice real estate brokerage business in this state by individual licensed real estate brokers or real estate salespersons as a corporation, limited liability company or partnership, a material part of the business of which includes real estate brokerage, is permitted, provided (1) the personnel of such corporation, limited liability company or partnership who engage in the real estate brokerage business as real estate brokers or real estate salespersons. and the real estate brokers whose ownership, control, membership or partnership interest is toward the requirements credited subdivision (3) of this subsection, are licensed or exempt from licensure under this chapter, (2) the corporation, limited liability company or partnership has been issued a real estate broker license by the commission as provided in this section and has paid the license or renewal fee required for a real estate broker's license as set forth in section 20-314, and (3) except for a publicly-traded corporation (a) with respect to a corporation other than a nonstock corporation, one or more real estate brokers own or control fifty-one per cent or more of the total issued shares of the corporation, (b) with respect to a nonstock corporation, one or more real estate brokers constitute at least fifty-one per cent of the members of the nonstock corporation, (c) with respect to a limited liability company, one or more real estate brokers own or control at least fifty-one per cent of the interest in the limited liability company, as defined in section,

34-101, or (d) with respect to a partnership, one or more real estate brokers' partnership interest, as defined in section 34-301, constitutes at least fifty-one per cent of the partnership interest. No such limited corporation, liability company or partnership shall be relieved of responsibility for the conduct or acts of its agents, employees or officers by reason of its compliance with this section, nor shall any individual practicing real estate brokerage be relieved of responsibility for real estate performed services by reason of the individual's employment or relationship with such corporation, limited liability company or partnership. The Real Estate Commission may refuse to authorize the issuance or renewal of a license if any facts exist that would entitle the commission to suspend or revoke an existing license.

- (c) A corporation, limited liability company or partnership desiring a real estate broker license shall file with the commission an application on such forms and in such manner as prescribed by the Department of Consumer Each such corporation, limited Protection. liability company or partnership shall file with the commission a designation of at least one individual licensed as a real estate broker in this state who shall be in charge of the real estate broker business of such corporation, limited liability company or partnership in this Such corporation, limited liability state. company or partnership shall notify the commission of any change in such designation not later than thirty days after such change becomes effective.
- (d) The Real Estate Commission may impose a fine of not more than one thousand dollars on any corporation, limited liability company or partnership that engages in real estate business without a license required by this section.

CPR-73 Rev 10/05 Corporation <u>www.ct.gov/dcp</u> (860) 713-6150



STATE OF CONNECTICUT DEPARTMENT OF CONSUMER PROTECTION License Services Division 165 Capitol Ave – Room 110 – Hartford, CT 06106

CONSENT FOR SERVICE OF PROCESS FOR CORPORATIONS

OF THE			CORPORATION
ON THE	DAY OF	20)
At a meeting of the Board of dire			CORPORATION
held on the	day of	20	
a quorum being present, the follo	owing resolution was passed b	oy said Board:	
provisions of Chapter 392 of does irrevocably consent that judicial district of the State in event proper service of proof may be made therein by the Chairman of the Connecticut pleadings upon said Chairman as valid and binding as if see	If the Connecticut General to suits and actions may be nowhich a cause of action less cannot be made upor less exercice of any process. Real Estate Commission, an of the Connecticut Real rivice had been made upor	I Statutes, entitled "Re commenced against the may arise or in which the this Corporation in any or pleadings authorize hereby stipulating and against the Corporation in the State Commission in the	necticut Real Estate Broker under that Estate Brokers and Salesperson to Corporation in the proper court in a the plaintiff may reside, and that in the proceeding, service of proceed by the laws of Connecticut on the greeing that such service of process all be taken and held in all courts to State of Connecticut and the Preside as may be necessary to effectuate the
SEAL OF CORPORATION		Directors of such Corporation cable consent for suits and	on
Date	Secretary signature		
STATE OFSS	}		
COUNTY OF			
On this	day of	20	, personally appeared
		_title:	of the
			Corporation
	ument is the corporate seal of the authority and direction of WITNESS, my hat	f said corporation; and that	e act and deed of the said corporation, a the said corporate seal and signature w
	NOTARY PUBL	IC	

CPR-73 Rev 10/05 Limited Liability Company www.ct.gov/dcp (860) 713-6150



STATE OF CONNECTICUT DEPARTMENT OF CONSUMER PROTECTION License Services Division 165 Capitol Ave – Room 110 – Hartford, CT 06106

CONSENT FOR SERVICE OF PROCESS FOR LIMITED LIABILITY COMPANY

THE NAME OF THE LIMITED LIABILITY CO						
IT IS REGISTERED UNDER THE LAWS OF						
AND THE ADDRESS OF ITS EXECUTIVE O	OFFICE					
The limited liability company, being an applicant for a license as a Real Estate Broker under the provisions of Chapter 392 of the Connecticut General Statutes, entitled "Real Estate Brokers and Salespersons", does irrevocably consent that suits and actions may be commenced against the limited liability company in the proper court in any judicial district of the State in which a cause of action may arise or in which the plaintiff may reside, by the service of any process or pleading, authorized by the laws of the State of Connecticut, on the Chairman of the Connecticut Real Estate Commission. The limited liability company stipulates and agrees that such service of process or pleading upon said Chairman of the Connecticut Real Estate Commission shall be taken and held in all courts to be as valid and binding as if service had been made upon the limited liability company in the State of Connecticut.						
DATED AT	THIS	DAY OF	, 20			
			MANAGER			
STATE OF						
COUNTY OF			, 20			
PERSONALLY APPEARED		AND				
AND ACKNOWLEDGED THE SAME TO BE	THEIR FREE A	CT AND DEED, BEFORE ME.				
		NO	TARY PUBLIC			

CPR-101b - Rev. 10/05
STATE OF CONNECTICUT
DEPARTMENT OF CONSUMER PROTECTION

LICENSE SERVICES DIVISION 165 CAPITOL AVENUE HARTFORD, CT 06106 Telephone: **(860) 713-6150**



REAL ESTATE SALESPERSON TRANSFER FORM

All spaces must be completed - please print in ink or type. This application <u>must be accompanied by a check or money order in the amount of \$25.00</u>, Payable to: "*Treasurer, State of Connecticut*".

Note: This completed form and fee <u>must</u> be received by this Department before you can represent a new broker.

SALESPERSON INFORMATION						
LAST NAME (Print Clearly)	FIRST NAME		Middle Initial	CURREN	IT LICENSE #	
RESIDENCE STREET ADDRESS		TOWN		STATE	ZIP CODE	
E-MAIL ADDRESS		TELEPHONE N	IUMBER			
SIGNATURE OF SALESPERSON DATE		DATE	DATE			
SPONSORING BROKER INFORMATION						
LEGAL NAME OF CORPORATION, LIMITED LIABILITY COMPANY, or PARTNERSHIP				LICENSE #	(Not Issued Yet)	
				NEW LEG	GAL ENTITY	
ADDRESS			PRINT NAME OF DESIGNATED BROKER			
E-MAIL ADDRESS			TELEPHONE NUMBER			
DESIGNATED BROKER'S SIGNATURE			DATE			

Excerpt from General Statutes of Connecticut

Sec. 20-319a. Change of salesperson's employment or affiliation. Fees. (a) Any licensed real estate **salesperson** who transfers his employment from one broker to another or his affiliation with a broker as an independent contractor shall register such transfer with, and pay a registration fee of twenty-five dollars to, the Real Estate Commission.

*Note: Brokers who affiliate with another Broker are not required to complete this form or submit the above fee.